

**UNITED STATES DISTRICT COURT**

EASTERN DISTRICT OF CALIFORNIA

KATARINA MARIE COX,

Case No. 1:20-cv-01520-SAB

**Plaintiff,**

# ORDER DENYING PLAINTIFF'S SOCIAL SECURITY APPEAL

# COMMISSIONER OF SOCIAL SECURITY

(ECE Nos. 20, 24, 25)

**Defendant**

L.

## **INTRODUCTION**

Katarina Marie Cox (“Plaintiff”) seeks judicial review of a final decision of the Commissioner of Social Security (“Commissioner” or “Defendant”) denying her application for disability benefits pursuant to the Social Security Act. The matter is currently before the Court on the parties’ briefs, which were submitted, without oral argument, to Magistrate Judge Stanley A. Boone.<sup>1</sup> Plaintiff submits that: (1) substantial evidence does not support the ALJ’s rejection of a treating physician’s medical source statement; (2) the ALJ failed to provide clear and convincing reasons for rejecting Plaintiff’s symptomology evidence; and (3) the ALJ’s mental residual functional capacity finding is not supported by substantial evidence. For the reasons set forth below, Plaintiff’s Social Security appeal shall be denied.

<sup>1</sup> The parties have consented to the jurisdiction of the United States Magistrate Judge. (See ECF Nos. 9, 11, 13.)

II.

## BACKGROUND

## A. Procedural History

4 On January 9, 2018, Plaintiff filed a Title II application for a period of disability and  
5 disability insurance benefits, and a Title XVI application for supplemental security income,  
6 alleging a period of disability beginning on January 1, 2013. (AR 193-94, 195-204.) Plaintiff's  
7 application was initially denied on June 26, 2018, and denied upon reconsideration on September  
8 4, 2018. (AR 113-117, 120-125.) Plaintiff requested and received a hearing before  
9 Administrative Law Judge Rebecca La Riccia (the "ALJ"). (AR 32-66, 126.) Plaintiff appeared  
10 for a hearing before the ALJ on February 11, 2020. (AR 32-66.) On March 4, 2020, the ALJ  
11 issued a decision finding that Plaintiff was not disabled. (AR 14-31.) The Appeals Council  
12 denied Plaintiff's request for review on August 24, 2020. (AR 2-7.)

13 On October 28, 2020, Plaintiff filed this action for judicial review. (ECF No. 1.) On  
14 June 23, 2021, Defendant filed the administrative record (“AR”) in this action. (ECF No. 14.)  
15 On November 3, 2021, Plaintiff filed an opening brief. (Pl.’s Opening Br. (“Br.”), ECF No. 20.)  
16 On January 3, 2022, Defendant filed an opposition brief. (Def.’s Opp’n (“Opp’n”), ECF No. 24.)  
17 On January 18, 2022, Plaintiff filed a reply brief. (Pl.’s Reply (“Reply”), ECF No. 25.)

## **B. The ALJ's Findings of Fact and Conclusions of Law**

19 The ALJ made the following findings of fact and conclusions of law as of the date of the  
20 decision, March 9, 2020:

- The claimant meets the insured status requirements of the Social Security Act through June 30, 2022.
  - The claimant engaged in substantial gainful activity during the following periods: 2017 and the third quarter of 2019 (20 CFR 404.1520(b), 404.1571 *et seq.*, 416.920(b) and 416.971 *et seq.*).
  - However, there has been a continuous 12-month period(s) during which the claimant did not engage in substantial gainful activity. The remaining findings address the period(s) the claimant did not engage in substantial gainful activity.

- 1     • The claimant has the following severe impairments: bipolar disorder, unspecified  
2         schizophrenia spectrum and other psychotic disorder, post-traumatic stress disorder  
3         (PTSD) (20 CFR 404.1520(c) and 416.920(c)).  
4     • The claimant does not have an impairment or combination of impairments that meets or  
5         medically equals the severity of one of the listed impairments in 20 CFR Part 404,  
6         Subpart P, Appendix 1 (20 CFR 404.1520(d), 404.1525, 404.1526, 416.920(d), 416.925  
7         and 416.926).  
8     • The claimant has the residual functional capacity to perform a full range of work at all  
9         exertional levels but with the following nonexertional limitations: the claimant can  
10         sustain concentration, persistence, and pace for 2 hour intervals after which she requires a  
11         10 minute break that can be accommodated by morning, afternoon, and lunch breaks.  
12         She can occasionally interact with coworkers, supervisors, and the general public.  
13     • The claimant is unable to perform any past relevant work (20 CFR 404.1565 and  
14         416.965).  
15     • The claimant was born on December 6, 1993, and was 19 years old, which is defined as a  
16         younger individual age 18-49, on the alleged disability onset date (20 CFR 404.1563 and  
17         416.963).  
18     • The claimant has at least a high school education and is able to communicate in English  
19         (20 CFR 404.1564 and 416.964).  
20     • Transferability of job skills is not material to the determination of disability because  
21         using the Medical-Vocational Rules as a framework supports a finding that the claimant  
22         is “not disabled,” whether or not the claimant has transferable job skills (See SSR 82-41  
23         and 20 CFR Part 404, Subpart P, Appendix 2).  
24     • Considering the claimant’s age, education, work experience, and residual functional  
25         capacity, there are jobs that exist in significant numbers in the national economy that the  
26         claimant can perform (20 CFR 404.1569, 404.1569(a), 416.969, and 416.969(a)).  
27     • The claimant has not been under a disability, as defined in the Social Security Act, from  
28         January 1, 2013, through the date of this decision [March 9, 2020] (20 CFR 404.1520(g))

1 and 416.920(g)).

2 (AR 17-27.)

3 **III.**

4 **LEGAL STANDARD**

5 To qualify for disability insurance benefits under the Social Security Act, the claimant  
6 must show that she is unable “to engage in any substantial gainful activity by reason of any  
7 medically determinable physical or mental impairment which can be expected to result in death  
8 or which has lasted or can be expected to last for a continuous period of not less than 12  
9 months.” 42 U.S.C. § 423(d)(1)(A). The Social Security Regulations set out a five step  
10 sequential evaluation process to be used in determining if a claimant is disabled. 20 C.F.R. §  
11 404.1520;<sup>2</sup> Batson v. Commissioner of Social Security Administration, 359 F.3d 1190, 1194 (9th  
12 Cir. 2004). The five steps in the sequential evaluation in assessing whether the claimant is  
13 disabled are:

14 Step one: Is the claimant presently engaged in substantial gainful activity? If so,  
15 the claimant is not disabled. If not, proceed to step two.

16 Step two: Is the claimant’s alleged impairment sufficiently severe to limit his or  
17 her ability to work? If so, proceed to step three. If not, the claimant is not  
disabled.

18 Step three: Does the claimant’s impairment, or combination of impairments, meet  
19 or equal an impairment listed in 20 C.F.R., pt. 404, subpt. P, app. 1? If so, the  
claimant is disabled. If not, proceed to step four.

20 Step four: Does the claimant possess the residual functional capacity (“RFC”) to  
21 perform his or her past relevant work? If so, the claimant is not disabled. If not,  
proceed to step five.

22 Step five: Does the claimant’s RFC, when considered with the claimant’s age,  
23 education, and work experience, allow him or her to adjust to other work that  
exists in significant numbers in the national economy? If so, the claimant is not  
disabled. If not, the claimant is disabled.

24 Stout v. Commissioner, Social Sec. Admin., 454 F.3d 1050, 1052 (9th Cir. 2006).

25 Congress has provided that an individual may obtain judicial review of any final decision

27

---

28<sup>2</sup> The cases generally cited herein reference the regulations which apply to disability insurance benefits, 20 C.F.R.  
§404.1501 et seq., however Plaintiff is also seeking supplemental security income, 20 C.F.R. § 416.901 et seq. The  
regulations are generally the same for both types of benefits. Therefore, further references are to the disability  
insurance benefits regulations, 20 C.F.R. §404.1501 et seq.

1 of the Commissioner of Social Security regarding entitlement to benefits. 42 U.S.C. § 405(g).  
2 In reviewing findings of fact in respect to the denial of benefits, this court “reviews the  
3 Commissioner’s final decision for substantial evidence, and the Commissioner’s decision will be  
4 disturbed only if it is not supported by substantial evidence or is based on legal error.” Hill v.  
5 Astrue, 698 F.3d 1153, 1158 (9th Cir. 2012). “Substantial evidence” means more than a  
6 scintilla, but less than a preponderance. Smolen v. Chater, 80 F.3d 1273, 1279 (9th Cir. 1996)  
7 (internal quotations and citations omitted). “Substantial evidence is relevant evidence which,  
8 considering the record as a whole, a reasonable person might accept as adequate to support a  
9 conclusion.” Thomas v. Barnhart, 278 F.3d 947, 955 (9th Cir. 2002) (quoting Flaten v. Sec’y of  
10 Health & Human Servs., 44 F.3d 1453, 1457 (9th Cir. 1995)).

11 “[A] reviewing court must consider the entire record as a whole and may not affirm  
12 simply by isolating a specific quantum of supporting evidence.” Hill, 698 F.3d at 1159 (quoting  
13 Robbins v. Social Security Administration, 466 F.3d 880, 882 (9th Cir. 2006). However, it is not  
14 this Court’s function to second guess the ALJ’s conclusions and substitute the court’s judgment  
15 for the ALJ’s. See Burch v. Barnhart, 400 F.3d 676, 679 (9th Cir. 2005) (“Where evidence is  
16 susceptible to more than one rational interpretation, it is the ALJ’s conclusion that must be  
17 upheld.”).

18 **IV.**

19 **DISCUSSION AND ANALYSIS**

20 Plaintiff submits that: (A) substantial evidence does not support the ALJ’s rejection of a  
21 treating physician’s medical source statement; (B) the ALJ failed to provide clear and convincing  
22 reasons for rejecting Plaintiff’s symptomology evidence; and (C) the ALJ’s mental residual  
23 functional capacity finding is not supported by substantial evidence.

24 **A. The ALJ’s Evaluation of Dr. Guimaraes’ Opinion**

25 Plaintiff argues that Dr. Pedro Guimaraes’ (“Dr. Guimaraes”) mental residual functional  
26 capacity (“MRFC”) questionnaire opinion of a disabling level of psychiatric limitations is well  
27 supported by the substantial treating evidence of record documenting extensive mood instability  
28 and hallucinations, despite compliance with multiple psychotropic anti-convulsant SSRI and

1 antipsychotic medications which caused significant side-effects, notably extreme fatigue. (Br.  
 2 8.) Plaintiff argues this is the only long term treating MRFC opinion of record, and that the ALJ  
 3 improperly rejected the opinion. (Br. 7-8.)

4       1.     The 2017 Regulatory Framework for Weighing Medical Opinions

5              The Social Security Administration revised its regulations regarding the consideration of  
 6 medical evidence — applying those revisions to all claims filed after March 27, 2017. See  
 7 Revisions to Rules Regarding the Evaluation of Medical Evidence, 82 FR 5844-01, 2017 WL  
 8 168819, \*5844 (Jan. 18, 2017). Plaintiff filed her claim on January 8, 2018 (AR 193-94, 195-  
 9 204; Br. 6); therefore, the revised regulations apply. See 20 C.F.R. § 404.1520c. Plaintiff  
 10 generally accepts that the analysis is subject to the new regulations, but maintains the Ninth  
 11 Circuit still requires at least specific and legitimate reasons for rejecting the contradicted  
 12 opinions of treating physicians. (Br. 11-13.) The Court finds the 2017 regulations supersede the  
 13 previous standards enunciated by the Ninth Circuit under previous regulatory standards.

14              Under the updated regulations, the agency “will not defer or give any specific evidentiary  
 15 weight, including controlling weight, to any medical opinion(s) or prior administrative medical  
 16 finding(s), including those from [the claimant’s own] medical sources.” 20 C.F.R. §§  
 17 404.1520c(a), 416.920c(a).<sup>3</sup> Thus, the new regulations require an ALJ to apply the same factors  
 18 to all medical sources when considering medical opinions, and no longer mandate particularized  
 19 procedures that the ALJ must follow in considering opinions from treating sources. See 20  
 20 C.F.R. §§ 404.1520c(a)-(c), 416.920c(a)-(c).

21              “When a medical source provides one or more medical opinions or prior administrative  
 22 medical findings, [the ALJ] will consider those medical opinions or prior administrative medical  
 23 findings from that medical source together using” the following factors: (1) supportability; (2)  
 24 consistency; (3) relationship with the claimant; (4) specialization; and (5) other factors that “tend  
 25 to support or contradict a medical opinion or prior administrative medical finding.” 20 C.F.R. §§  
 26

27              <sup>3</sup> The regulations at 20 C.F.R. § 404.1501 et seq., reference the regulations which apply to disability insurance  
 28 benefits, and the regulations at 20 C.F.R. § 416.901 et seq. apply to supplemental security income, though the  
 regulations are generally the same for both types of benefits.

1 404.1520c(a)-(c)(1)-(5), 416.920c(a)-(c)(1)-(5). The most important factors to be applied in  
2 evaluating the persuasiveness of medical opinions and prior administrative medical findings are  
3 supportability and consistency. 20 C.F.R. §§ 404.1520c(a)-(c), 416.920c(a)-(c). Regarding the  
4 supportability factor, the regulation provides that the “more relevant the objective medical  
5 evidence and supporting explanations presented by a medical source are to support his or her  
6 medical opinion(s) or prior administrative medical finding(s), the more persuasive the medical  
7 opinions or prior administrative medical finding(s) will be.” 20 C.F.R. §§ 404.1520c(c)(1),  
8 416.920c(c)(1). Regarding the consistency factor, the “more consistent a medical opinion(s) or  
9 prior administrative medical finding(s) is with the evidence from other medical sources and  
10 nonmedical sources in the claim, the more persuasive the medical opinion(s) or prior  
11 administrative medical finding(s) will be.” 20 C.F.R. §§ 404.1520c(c)(2), 416.920c(c)(2).

12 Accordingly, the ALJ must explain in the decision how persuasive they find a medical  
13 opinion and/or a prior administrative medical finding based on these two factors. 20 C.F.R. §§  
14 404.1520c(b)(2), 416.920c(b)(2). Additionally, the ALJ “may, but [is] not required to, explain  
15 how [they] considered the [other remaining factors],” except when deciding among differing yet  
16 equally persuasive opinions or findings on the same issue. 20 C.F.R. §§ 404.1520c(b)(2)-(3),  
17 416.920c(b)(2)-(3). Further, the ALJ is “not required to articulate how [he] considered evidence  
18 from nonmedical sources.” 20 C.F.R. § 404.1520c(d).

19 The “treating source rule” allowed an ALJ to reject a treating or examining physician’s  
20 uncontradicted medical opinion only for “clear and convincing reasons,” and allowed a  
21 contradicted opinion to be rejected only for “specific and legitimate reasons” supported by  
22 substantial evidence in the record. See, e.g., Trevizo v. Berryhill, 871 F.3d 664, 675 (9th Cir.  
23 2017). The revised regulations no longer use the term “treating source,” but instead use the  
24 phrase “your medical source(s)” to refer to whichever medical sources a claimant chooses to use.  
25 See 20 C.F.R. §§ 404.1520c, 416.920c; 82 FR 5844-01, 2017 WL 168819, at \*5852-53  
26 (eliminating “treating source rule”). In sum, the requirement that an ALJ provide “clear and  
27 convincing” or “specific and legitimate” reasons for discounting a treating or examining opinion  
28 no longer applies, as this “measure of deference to a treating physician is no longer applicable

1 under the 2017 revised regulations.” Jean T. v. Saul, No. 20CV1090-RBB, 2021 WL 2156179,  
2 at \*5 (S.D. Cal. May 27, 2021); see also, e.g., Jones v. Saul, No. 2:19-CV-01273 AC, 2021 WL  
3 620475, at \*7-10 (E.D. Cal. Feb. 17, 2021) (finding the new regulations valid and entitled to  
4 Chevron deference, and because prior case law “is inconsistent with the new regulation, the court  
5 concludes that the 2017 regulations effectively displace or override” it); Meza v. Kijakazi, No.  
6 1:20-CV-01216-GSA, 2021 WL 6000026, at \*6 (E.D. Cal. Dec. 20, 2021) (“courts in this circuit  
7 have rejected the notion that the treating physician rule still pertains to claims filed after March  
8 27, 2017”).

9       Nonetheless, the new regulations still require the ALJ to explain his reasoning and to  
10 specifically address how he considered the supportability and consistency of the opinion. 20  
11 C.F.R. §§ 404.1520c, 416.920c; see P.H. v. Saul, No. 19-cv-04800-VKD, 2021 WL 965330, at  
12 \*3 (N.D. Cal. Mar. 15, 2021) (“Although the regulations eliminate the ‘physician hierarchy,’  
13 deference to specific medical opinions, and assigning ‘weight’ to a medical opinion, the ALJ  
14 must still ‘articulate how [he] considered the medical opinions’ and ‘how persuasive [he] find[s]  
15 all of the medical opinions.’”) (citation omitted). As always, the ALJ’s reasoning must be free of  
16 legal error and supported by substantial evidence. Indeed, the Court notes that, for example,  
17 where an ALJ’s rationale for rejecting a contradicted treating physician’s opinion satisfies the  
18 new regulatory standard, it would almost certainly pass scrutiny under the old standard as well.  
19 See Andrews v. Shalala, 53 F.3d 1035, 1041 (9th Cir. 1995) (noting that inconsistency with  
20 independent clinical findings in the record is a specific and legitimate reason to reject a  
21 contradicted opinion of a treating physician). Thus, even under the new regulatory framework,  
22 the Court still must determine whether the ALJ adequately explained how he considered the  
23 supportability and consistency factors relative to medical opinions and whether the reasons were  
24 free from legal error and supported by substantial evidence. See Martinez V. v. Saul, No. CV  
25 20-5675-KS, 2021 WL 1947238, at \*3 (C.D. Cal. May 14, 2021).

26           2.     Dr. Guimaraes January 9, 2019 Opinion

27       The opinion in question is dated January 9, 2019. (AR 539.) The record is a  
28 questionnaire with specific questions and subsets of types of limitations that the medical

1 professional is to opine as to the severity of each subset using a scale of severity from Category I  
2 to Category IV. According to the form, Category I does not preclude performance of any aspect  
3 of the job; Category II precludes performance for 5% of an 8-hour workday (24 minutes);  
4 Category III precludes performance for 10% of an 8-hour workday (48 minutes); and Category  
5 IV precludes performance for 15% or more of an 8-hour workday (72 minutes). (AR 537.)

6 The form indicates that Dr. Guimaraes saw Plaintiff 1 to 2 times per month since  
7 September of 2016. (AR 537.) Plaintiff's diagnosis was PTSD and major depressive disorder.  
8 (Id.) Prescribed and non-prescription medications were listed as: Effexor XR; Lamictal; Lithium  
9 Carbonate; Rexulti; and Wellbutrin XL. (Id.) The form lists Plaintiff's side effects of  
10 prescription and non-prescription medications as: lethargy, palpitations, dizziness, and nausea.  
11 (Id.)

12 The first subset of limitation areas pertains to mental abilities, understanding, and  
13 memory. (AR 537.) Dr. Guimaraes checked the boxes for Category I for each of the areas: (1)  
14 remember locations and work-like procedures; (2) understand and remember very short and  
15 simple instructions; and (3) understand and remember detailed instructions. (AR 537.) This  
16 means Plaintiff's work performance was not precluded by any limitations in this subset. Where  
17 asked to explain these responses, Dr. Guimaraes stated "patient is able to follow instructions."  
18 (Id.)

19 The second subset pertains to mental abilities, sustained concentration, and memory. Dr.  
20 Guimaraes checked the boxes for Category I (no limitation) for each of the following areas: (4)  
21 carry out very short and simple instructions; (5) carry out detailed instructions; (9) work in  
22 coordination with or in proximity to others without being distracted by them; and (10) make  
23 simple work-related decisions. (AR 538.) Dr. Guimaraes checked the boxes for Category IV for  
24 each of the following areas: (6) maintain attention and concentration for extended periods of  
25 time; (7) perform activities within a schedule, maintain regular attendance, and be punctual and  
26 within customary tolerances; (8) sustain an ordinary routine without special supervision; and (11)  
27 complete a normal workday and workweek without interruptions from psychologically based  
28 symptoms, and perform at a consistent pace without an unreasonable number and length of rest

1 periods. (Id.) Category IV equates to precluding performance for 15% or more of the workday.  
2 Where asked to explain these findings as to the second subset, Dr. Guimaraes left the form blank.  
3 (Id.)

4       The third subset pertains to social interaction. (AR 538.) Dr. Guimaraes checked the  
5 boxes for Category I (no limitation) for each of the following areas: (13) ask simple questions or  
6 request assistance; and (16) maintain socially appropriate behavior, and to adhere to basic  
7 standards of neatness and cleanliness. (Id.) Dr. Guimaraes checked the boxes for Category IV  
8 (15% of workday) for each of the following areas: (12) interact appropriately with the general  
9 public; (14) accept instructions and respond appropriately to critiques from supervisors; and (15)  
10 get along with coworkers or peers without distracting them or exhibiting behavioral extremes.  
11 (Id.) Where asked to explain these findings as to the third subset of social interaction, Dr.  
12 Guimaraes left the form blank. (Id.)

13       The fourth subset pertains to adaptation. (AR 538.) Dr. Guimaraes checked the box for  
14 Category I (no limitation) for the area of: (18) be aware of normal hazards and take appropriate  
15 precautions. (Id.) Dr. Guimaraes checked the boxes for Category IV (15% of workday) for each  
16 of the following areas: (17) respond appropriately to changes in the work setting; (19) travel in  
17 unfamiliar places or use public transportation; and (20) set realistic goals or make plans  
18 independently of others. (Id.) Where asked to explain these findings as to the fourth subset of  
19 adaptation, Dr. Guimaraes wrote: "Patient suffers from depression and anxiety that interferes  
20 with social interactions." (Id.)

21       Dr. Guimaraes opined that on average Plaintiff would be absent 5 or more days from  
22 work. (AR 539.) Dr. Guimaraes also opined that on average Plaintiff would be unable to  
23 complete an 8-hour workday 5 days a month. (Id.) Dr. Guimaraes opined that these limitations  
24 began on December 16, 2019. (Id.) The form checked the box affirming that Plaintiff was not a  
25 malingerer. (Id.)

26       3.       The ALJ's Findings as to Dr. Guimaraes' Opinion

27       The ALJ made the following findings and conclusions in finding the opinion not  
28 persuasive:

1 Dr. Guimaraes [sic], MD, opined that the claimant had symptoms  
2 preclude performance for 15% or more of an 8-hour workday in  
3 the areas of sustained concentration and memory, social  
4 interaction, and adaption. He also stated that the claimant is likely  
5 to be absent or unable to complete an 8-hour workday at least 5 or  
6 more days per month. In support, he merely stated that the  
7 claimant suffers from depression and anxiety that interferes with  
8 social interactions (8F). The undersigned finds this opinion to be  
9 not persuasive as his own treatment records as well as the  
10 observations by other treatment providers show overall normal  
11 mental status examinations (*see eg* 2F; 7F). This opinion is also  
12 inconsistent with the claimant's activities of daily living and her  
13 ability to work, including at substantial gainful activity levels (1F;  
14 2F; 7F; 7D; 8D).

15 (AR 24.)

16       4. Plaintiff's Primary Arguments

17 Plaintiff emphasizes Dr. Guimaraes has been treating her every one to two months since  
18 2016. Plaintiff argues the opinion is well supported by substantial evidence including extensive  
19 mood instability and hallucinations despite compliance with multiple psychotropic, anti-  
20 convulsant SSRI and antipsychotic medications, which caused significant side-effects such as  
21 extreme fatigue. (Br. 8.) Plaintiff submits that because the only long-term treating psychiatric  
22 MSS MRFC is well-supported by Dr. Guimaraes' own treating records, the ALJ harmfully erred  
23 by failing to properly consider and evaluate the opinion.

24 Plaintiff summarizes the longitudinal record arguing this demonstrates the supportability  
25 of the opinion. Plaintiff highlights: a September 27, 2016 psychiatric report from Dr. Guimaraes  
26 that documents Plaintiff sought treatment for medication management (AR 402), showing  
27 Plaintiff was twice held involuntarily at a psychiatric hospital on 5150, most recently in July of  
28 2013 when she punched her mother (AR 403); a July 30, 2017 emergency room department  
record that documented Plaintiff sought treatment for trouble sleeping., a return of auditory  
hallucinations described as mean and aggressive voices, and visual hallucinations of demons  
(AR 338); a November 1, 2017 record from Mary Meiselman, Dr. Guimaraes' nurse practitioner  
(AR 391-95); a December 13, 2017 treatment note from Dr. Guimaraes (AR 375); a March 14,  
2018 treatment record where Plaintiff reported voices were coming back (AR 357, 361) and  
worsening symptoms; a follow up treatment record from April 18, 2018, with Plaintiff still

1 hearing voices, but fainter (AR 352); a July 9, 2018 treatment note reporting weight gain and  
2 sleeping too much, with a change in medications (AR 526-30); a September 4, 2018 treatment  
3 record where Plaintiff reported an episode becoming very frustrated, tearful, and punching  
4 pillows three weeks prior, and hearing chatter in her head (AR 514); an October 2, 2018 record  
5 showing Plaintiff struggled with excessive sedation since medication change, and sleepiness  
6 throughout day with Dr. Guimaraes diagnosing schizoaffective disorder, bipolar type, and PTSD  
7 (AR 505); a treatment record dated January 16, 2019, with Plaintiff complaining of being too  
8 sedated, and changed medication (AR 486-489); a treatment record dated March 27, 2019,  
9 documenting Plaintiff pill-rolling (a tremor related to Parkinson's disease), with a change in  
10 medication (AR 469, 477); a May 1, 2019 record where Plaintiff reported occasional tearfulness  
11 and hand tremors; a September 11, 2019 record, where Plaintiff endorsed auditory  
12 hallucinations, had a full and blunted affect and Dr. Guimaraes changed medication again (AR  
13 508-509, 512); an October 28, 2019 record, where Plaintiff reported being more anxious and  
14 having problems falling asleep; and a December 16, 2019 record where Plaintiff reported feeling  
15 increased hopeless, depressed, screaming and crying every few days, was disheveled, and again  
16 changed medication (AR 426-430).

17 Plaintiff contends the ALJ erroneously mischaracterized her mental status examinations  
18 as normal, and failed to discuss that on multiple occasions, Dr. Guimaraes or his nurse  
19 practitioner, documented Plaintiff's mental status exam to show: "flat," "blunted" (AR 376, 509),  
20 and "restricted" affect (AR 503); "slowed speech" (AR 503); "drowsy" appearance (AR 392;  
21 464); hand tremors (AR 464, 469); "disheveled" appearance; and "sad" and "depressed" mood  
22 (AR 426). See Wood v. Colvin, No. ED CV 16-534-E, 2016 WL 5496267 (Sept. 28, 2016,  
23 C.D. Cal.) (finding that an ALJ's material mischaracterization of mental status examinations as  
24 "otherwise normal" when there was evidence of "other abnormalities" did not constitute  
25 substantial evidence to support an ALJ's RFC determination as "an ALJ's material  
26 mischaracterization of the record can warrant remand."). Plaintiff further argues the ALJ erred  
27 in failing to discuss the treating records in Exhibit 2F and Exhibit 7F in context with the  
28 objective treating evidence and subjective testimony of record, as a whole. See Ghanim v.

1 Colvin, 763 F.3d 1154 (9th Cir. 2014) (holding that “the ALJ improperly cherry-picked”  
 2 characterizations by the physician out of context “instead of considering these factors in the  
 3 context of [the doctor’s] diagnoses and observations of impairment”). Plaintiff highlights the  
 4 Ninth Circuit has held a psychologist’s partial reliance on a claimant’s self-reported symptoms  
 5 was not a valid reason to reject the psychologist’s opinion. See Buck v. Berryhill, 869 F.3d  
 6 1040, 1049 (9th Cir. 2017) (holding that “Psychiatric evaluations may appear subjective,  
 7 especially compared to evaluation in other medical fields[] [and] [d]iagnoses will always depend  
 8 in part on the patient’s self-report, as well as on the clinician’s observations of the patient[,] [b]ut  
 9 such is the nature of psychiatry.”).<sup>4</sup>

10 Plaintiff argues the ALJ erred by failing to discuss Plaintiff’s symptomology as  
 11 documented by Dr. Guimaraes in these treating records, including: “simmering irritability,”  
 12 “short fuse,” (AR 375); unexpected “tearfulness” or crying (AR 357, 426, 463, 503); “mood  
 13 instability at times,” “daytime anxiety and worry,” becoming “easily overwhelmed,” “some  
 14 possible hypnagogic hallucinations at the onset of sleep,” “chatter” or “voices” increasing at  
 15 night (AR 352, 375, 402, 352, 508, 514); lack of motivation, “anhedonia,” or feeling no  
 16 pleasures in life (AR 402-403, 426, 503); excessive sedation (AR 426, 438, 486-487, 503, 526);  
 17 interrupted sleep patterns (AR 437, 438); increased anxiety (AR 437); screaming outbursts (AR  
 18 426, 514); feeling depressed (AR 402-403, 426); and disturbing thoughts (AR 426).

19 Plaintiff emphasizes that in response to this extensively reported and documented  
 20 symptomology during these office visits, coupled with MSE findings, the record establishes that  
 21 Dr. Guimaraes used his professional judgment to prescribe varying, potent SSRI, anti-psychotic,  
 22 anti-convulsant, and psychotropic medications, in varying dosages due to significant side-effects.  
 23 Plaintiff argues this supports the opinion, and shows non-conservative treatment. See, e.g.  
 24 Baker v. Astrue, No. ED CV 09-1078 RZ, 2010 WL 682263, at \*1 (C.D. Cal. Feb. 24, 2010)

25 \_\_\_\_\_  
 26 <sup>4</sup> Also noted in Buck, a “physician’s opinion of disability premised to a large extent upon the claimant’s own  
 27 accounts of his symptoms and limitations may be disregarded where those complaints have been properly  
 discounted,” and that where the doctor “conducted a clinical interview and a mental status evaluation,” these were  
 omitted).  
 28

1 (“Where mental activity is involved, administering medications that can alter behavior shows  
2 anything but conservative treatment”). Plaintiff further submits the ALJ erred in discounting Dr.  
3 Guimaraes’ opinion by mischaracterizing Plaintiff’s activities of daily living. (Br. 17.)

4       5.     The Court finds the ALJ did not Err in Weighing the Opinion of Dr. Guimaraes

5           As summarized above and as Defendant notes, although the questionnaire asked, Dr.  
6 Guimaraes did not explain why he opined that Plaintiff would be precluded from performing the  
7 following mental tasks 15% or more of an 8-hour workday: maintain attention and concentration  
8 for extended period of time; perform activities within a schedule, maintain regular attendance,  
9 and be punctual and within customary tolerances; sustain an ordinary routine without  
10 special supervision; complete a normal workday and workweek without interruptions from  
11 psychologically based symptoms, and perform at a consistent pace without an unreasonable  
12 number and length of rest periods; respond appropriately to changes in a work setting; travel in  
13 unfamiliar places or use public transportation; and set realistic goals or make plans  
14 independently from others (AR 24, 537-38). Defendant argues this shows the ALJ properly  
15 found Dr. Guimaraes’s January 2019 opinion was unpersuasive.

16           The fact a physician uses a check box form without providing concurrent explanation  
17 does not equate to the opinion being unsupported by substantial evidence, and an ALJ may not  
18 reject an opinion solely for being in such form. See Garrison v. Colvin, 759 F.3d 995, 1013 (9th  
19 Cir. 2014) (finding ALJ “failed to recognize that the opinions expressed in check-box form in the  
20 February 2008 PFC Questionnaire were based on significant experience with Garrison and  
21 supported by numerous records, and were therefore entitled to weight that an otherwise  
22 unsupported and unexplained check-box form would not merit.”); Esparza v. Colvin, 631 F.  
23 App’x 460, 462 (9th Cir. 2015) (“Although the treating physician’s opinions were in  
24 the form of check-box questionnaires, that is not a proper basis for rejecting an opinion  
25 supported by treatment notes . . . [t]he treating physician’s extensive notes are consistent with  
26 the check-box forms and provide the basis for his opinions.”). Clear however, is that an ALJ  
27 may discount an unexplained check box form opinion that is unsupported or inconsistent with the  
28 treatment records from that medical provider. See id.; Flowers v. Colvin, No. 3:16-CV-05025

1 JRC, 2016 WL 4120048, at \*3 (W.D. Wash. Aug. 3, 2016) (“As an initial matter, discrediting a  
2 doctor’s opinion simply because he used a check box form is not valid unless that opinion is  
3 inconsistent with the underlying clinical records . . . to the extent that the ALJ discounted Dr.  
4 Trowbridge’s opinion simply because the opinion was contained on a check box form, the ALJ  
5 committed legal error.”).

6 The Court presumes that even after the 2017 regulations, an ALJ cannot simply reject a  
7 physicians’ opinion simply for being in such form, when the opinion is in fact supported by the  
8 treatment record. Here, the ALJ stated in relation to the form: “[i]n support, he merely stated  
9 that the claimant suffers from depression and anxiety that interferes with social interactions.”  
10 (AR 24, 538.) The ALJ joined this observation with the finding that Dr. Guimaraes’ “own  
11 treatment records as well as the observations by other treatment providers show overall normal  
12 mental status examinations,” and found the “opinion [] also inconsistent with the claimant’s  
13 activities of daily living and her ability to work, including at substantial gainful activity levels.”  
14 (AR 24.)

15 The “more relevant the objective medical evidence and supporting explanations presented  
16 by a medical source are to support his or her medical opinion(s) or prior administrative medical  
17 finding(s), the more persuasive the medical opinions or prior administrative medical finding(s)  
18 will be.” 20 C.F.R. §§ 404.1520c(c)(1), 416.920c(c)(1). The “more consistent a medical  
19 opinion(s) or prior administrative medical finding(s) is with the evidence from other medical  
20 sources and nonmedical sources in the claim, the more persuasive the medical opinion(s) or prior  
21 administrative medical finding(s) will be.” 20 C.F.R. §§ 404.1520c(c)(2), 416.920c(c)(2). The  
22 Court finds substantial evidence supports the ALJ’s finding that Dr. Guimaraes’ opinion was: (1)  
23 not persuasive because Dr. Guimaraes’ own treatment records and records from other treatment  
24 providers showed overall normal mental status examinations; and (2) inconsistent with Plaintiff’s  
25 activities of daily living and her ability to work, including work at a level of substantial gainful  
26 activity levels.

27 // /

28 // /

1       The ALJ noted normal exam findings earlier in the opinion, when explaining the  
2 longitudinal evolution of the Plaintiff's medical treatment:

3       The records indicate that the claimant has mental health diagnoses  
4 including bipolar affective disorder, bipolar I disorder, unspecified  
5 schizophrenia spectrum and other psychotic disorder, and post-  
6 traumatic stress disorder (PTSD) (1F; 2F). She has reported  
7 symptoms including auditory and visual hallucinations, anger, bad  
8 dreams, disturbing thoughts, irritability, tearfulness, mood  
9 instability, and anxiety and worry (*see eg* 1F; 2F; 7F). In July of  
10 2017, the claimant reported that she had been off her medications  
11 because she threw them away (1F). In October of 2017, the records  
12 state that she was responding to treatment and showing signs of  
13 improvement (2F/48). In August of 2018, she reported that she was  
14 stable and happy and found her medications effective (7F/96, 99).  
15 Again, in January of 2019, she also stated that she was stable,  
16 happy, and had significant improvement to her symptoms (7F/56-  
17 60, 33). The records suggest that her impairments are well  
18 controlled on current medications (7F/56-60, 29). The claimant  
19 admitted that she had previously been variably compliant with her  
20 medication (7F/33).

21       During examinations, the claimant has been observed to be  
22 oriented, in no distress, to have normal speech, normal behavior,  
23 normal judgment and thought content, to not be anxious, angry,  
24 inappropriate, paranoid or have delusions, to have normal  
25 cognition and memory, to not have a depressed mood, to be calm  
26 and attentive, appropriately dressed with adequate grooming and  
27 hygiene, to be cooperative with good eye contact, bright, engaging,  
28 to have intact recent and remote memory, and intact attention and  
concentration (*see eg* 1F; 2F; 7F). At times she was observed to  
have a slightly depressed mood or to be irritable (1F; 2F).

18 (AR 22-23.)

19       The ALJ noted a pattern of improvement with medication when she was compliant. (AR  
20 22-23.) The ALJ noted that in July of 2017, Plaintiff reported she had been taken off  
21 medications because she threw them away. (AR 22.) This is the emergency room record dated  
22 July 30, 2017. (AR 337.) The record reflects the following:

23       23 y/o female w/ trouble sleeping past few days. She states she  
24 weened off her meds in Feb. She started working at casino at that  
25 time. Last time seen by her doctors was in Feb as well. She did not  
26 run out of meds, she threw them away. Since then, she has had in  
27 recent weeks return of auditory hallucinations which are mean and  
aggressive voices (not now), the visual hallucinations are  
28 "demons", but not now, "they are far off". No SI/HI. Last street  
drugs was 2 yrs ago. EtOH heavy in youth, not as much now.  
Onset of her psych issues were in her teens. She took a bad hit of  
"molly", but also possibly some "bath salts" Since then she has not  
been well.

1 (AR 338.) The psychiatric exam noted: normal speech; normal behavior; normal judgment and  
2 thought content; mood appeared not anxious; affect was not angry, not blunt, not labile, and not  
3 inappropriate; thought content was not paranoid and not delusional; cognition and memory were  
4 normal; she did not exhibit a depressed mood; expressed no homicidal or suicidal ideation; and  
5 expressed no suicidal or homicidal plans. (AR 339.)

6 The ALJ noted that in October of 2017, records showed Plaintiff was responding to  
7 treatment and showing signs of improvement. (AR 22-23.) This refers to an October 11, 2017  
8 record where Dr. Guimaraes, with N.P. Meiselman, noted Plaintiff was “responding to current  
9 treatment and is showing signs of improvement.” (AR 399.)

10 The ALJ noted that in January of 2019, Plaintiff stated she was stable, happy, and had  
11 significant improvement to her symptoms (AR 23, citing AR 457, 480-84); that records  
12 suggested her impairments were well controlled on current medications (AR 23, citing AR 453,  
13 480-84); and that Plaintiff had admitted that she had previously been variably compliant with her  
14 medication (AR 23, citing AR 457). This references a January 30, 2019 record, signed by N.P.  
15 Bayer “with” Dr. Guimaraes, three weeks after the January 9 opinion. (AR 480-84.) Under  
16 chief complaint, Plaintiff reported “I am feeling good. I think the sleep helps.” (AR 480.) The  
17 record reflects that Plaintiff “states that she is following through with recommendations for sleep  
18 hygiene and she notices a significant improvement in her auditory hallucinations with the stable  
19 sleep. Mood is euthymic and she feels good energy with the Wellbutrin . . . She presents as  
20 bright and interactive.” (AR 480-481.) This record also incorporates a summary of a visit  
21 referenced as “From 1/19 PN.” (AR 481.) This appears to reference a January 16, 2019 record,  
22 one week after the January 9 opinion. (See AR 486.) The summary of the earlier January 16  
23 record states that she had previously reported “stable mood without tearfulness or irritability,”  
24 that “[o]verall she is happy with her medications and her progress,” “admits that she was erratic  
25 and yelling and experiencing significant auditory hallucinations as recently as last year,” that she  
26 was “variably compliant with medications,” and “she is motivated to have stability and has been  
27 doing very well for the past 9 months but today feels frustrated because she did not get  
28 authorization for Rexulti and she missed two doses.” (AR 481.)

1        This also references a June 4, 2019 treatment record with N.P. Bayer “with” Dr.  
2 Guimaraes, that again incorporates the same summary of the January 16, 2022 record, and its  
3 reference to being variably compliant. (AR 457, 461.) On June 4, 2019, Plaintiff’s chief  
4 complaint was entered as “I’m still doing really good.” (AR 456.) Doctor Guimaraes noted  
5 Plaintiff “continues to do well . . . has tolerated discontinuation of Depakote and now reports  
6 positive outcome with decreasing her lithium, mood remains stable and tremors have abated,”  
7 that she denies thoughts of self-harm; that she sleeps well and “uses just one 25 mg Seroquel”;  
8 appetite stable; losing weight at a healthy rate; denies hallucinations; and “has no pill rolling.”  
9 (AR 457.) Dr. Guimaraes also noted “[o]verall she is bright and engaging and feeling very  
10 happy with her improvements . . . is social and without anxiety . . . will follow up in 6 weeks.”  
11 (AR 457.)

12        The third record cited by the ALJ at this portion of the opinion is a July 23, 2019 record  
13 signed by NP Bayer “with” Dr. Guimaraes. (AR 453.) The ALJ cited it for the proposition that  
14 Plaintiff’s impairments were well controlled on medication. (AR 23.) The records reflects the  
15 notation that: Plaintiff “is stable and well controlled on current medications . . . [d]oing well with  
16 Seroquel at HS to stabilize sleep.” (AR 453.)

17        The ALJ also found that: “[d]uring examinations, the claimant has been observed to be  
18 oriented, in no distress, to have normal speech, normal behavior, normal judgment and thought  
19 content, to not be anxious, angry, inappropriate, paranoid or have delusions, to have normal  
20 cognition and memory, to not have a depressed mood, to be calm and attentive, appropriately  
21 dressed with adequate grooming and hygiene, to be cooperative with good eye contact, bright,  
22 engaging, to have intact recent and remote memory, and intact attention and concentration. (AR  
23 23, citing AR 337-351, 352-412, 425-536). The ALJ in conjunction again noted that at times  
24 Plaintiff was observed to have a slightly depressed mood or to be irritable. (AR 23, citing AR  
25 337-351, 352-412.)

26        As noted above, Plaintiff cites to numerous records that she claims demonstrates the ALJ  
27 ignored records or engaged in cherry-picking of records showing improvement or normal mental  
28 status examinations. The Court does not find the ALJ engaged in cherry-picking of evidence,

1 but rather weighed numerous records of Plaintiff's various complaints through the relevant time  
2 period. The ALJ acknowledged Plaintiff's reporting of symptoms including auditory and visual  
3 hallucinations, anger, bad dreams, disturbing thoughts, irritability, tearfulness, mood instability,  
4 anxiety, and worry. (AR 22, citing AR 337-351, 352-412, 425-536.) However, the records cited  
5 by the ALJ provide substantial support for the f.

6 In addition to the above records specifically cited by the ALJ that the Court finds highly  
7 supportive of the ALJ's findings, Defendant also highlights records of additional support in  
8 records cited by the ALJ. Defendant argues the ALJ properly noted Dr. Guimaraes's own  
9 treatment notes and observations of the other treatment providers in Dr. Guimaraes's office did  
10 not support Dr. Guimaraes's January 2019 opinion (AR 20-24, 396, 399, 402, 406). Defendant  
11 directs the Court to records demonstrating that Mary Meiselman, N.P.; K. Elmquist, R.N.; Korie  
12 Bayer, N.P.; Joe Feliberti, M.D.; and Rachel Frye, R.N., consistently observed cooperative  
13 behavior, good eye contact, normal speech, as well as intact insight, judgment, memory, and  
14 attention/concentration, (AR 20-24, 353, 357-58, 364, 370, 376, 382, 387, 392, 425-27, 433,  
15 437-38, 445-96, 503-04, 509-35). The Court finds this provides substantial evidence in support  
16 of the ALJ's finding that these examination findings by Dr. Guimarae's and associates do not  
17 support Dr. Guimaraes's opinion that Plaintiff would be precluded from performing mental tasks  
18 15% or more of an 8-hour workday. Plaintiff does not directly dispute this evidentiary support,  
19 but in reply generally argues that the Defendant cannot use post-hoc arguments and records not  
20 cited by the ALJ. However, these records were cited by the ALJ, somewhat generally but not  
21 lacking in support throughout the broad swath, and Plaintiff mounts no more than a generalized  
22 statement in reply that does not specifically address the Defendant's arguments.

23 Plaintiff proffers Dr. Guimaraes prescribed a varying and intensive course of non-  
24 conservative treatment, and this is further indication that his disabling MRFC MSS is well-  
25 supported by the evidence of record. (Br. 17.) Plaintiff emphasizes treatment of psychological  
26 conditions with SSRIs and other "mild altering" medications are not considered "conservative  
27 treatments" by many courts. See, e.g., Baker, 2010 WL 682263, at \*1.

28 The Court is not unreceptive to finding an ALJ's characterization of treatment as

1 conservative to be error. See Garcia v. Comm'r of Soc. Sec., No. 1:21-CV-00068-SAB, 2022  
2 WL 2110709, at \*7 (E.D. Cal. June 10, 2022) (“Other than stating the medications were routine  
3 and conservative, and infrequently changed, the ALJ does not specifically mention any  
4 information about the treatment by medication that would support the finding of the treatment  
5 being routine and conservative. Given the various issues surrounding mental health treatment  
6 and the Plaintiff’s record of mental health treatment and medications, the Court does not find the  
7 ALJ’s findings and conclusions in this instance to be a clear and convincing reason supported by  
8 substantial evidence in the record.”). Here however, the ALJ did not describe the mental health  
9 treatment as conservative. Rather the ALJ accurately noted that “the records indicated that the  
10 claimant and her treatment providers have reported improvement to her symptoms with  
11 medication compliance.” (AR 24, citing AR 352-412, 425-536.) The ALJ noted that at the  
12 hearing, Plaintiff “testified that her crying spells and outburst seem to be getting better with  
13 medication.” (AR 24.) As discussed above, the ALJ accurately relied upon records regarding  
14 Plaintiff being stable, symptoms being well-controlled on medications, and that Plaintiff was  
15 variably compliant with medications at other times. (AR 23-24, 453, 457, 461, 481.) The Court  
16 finds the ALJ’s reliance on the stability of treatment as part of the conclusions is not error, and is  
17 supported by substantial evidence in the record. Warre v. Comm'r of Soc. Sec. Admin., 439  
18 F.3d 1001, 1006 (9th Cir. 2006) (“Impairments that can be controlled effectively with medication  
19 are not disabling for the purpose of determining eligibility for SSI benefits.”).

20 Plaintiff further submits the ALJ erred in discounting Dr. Guimaraes’ opinion by  
21 mischaracterizing Plaintiff’s activities of daily living. (Br. 17.) Plaintiff contends her attempts  
22 at work activity, as shown by hearing testimony, were only attempts. That is, she was unable to  
23 sustain any full-time work for any sustained period of time due to interruptions from her  
24 psychiatric impairments, including uncontrolled screaming and crying outbursts and the side-  
25 effects of her medication, despite compliance, including excessive fatigue and slowed  
26 performance of tasks. (Id.) Plaintiff directs the Court to various statements made at the hearing.  
27 For example, Plaintiff testified she was fired from her job in 2017 for “not getting along with  
28 another co-worker, and I had been off my medication. So, I had a mental breakdown, and I was

1 hospitalized and then put back on my medication. So I've been on my medication consistently,  
2 every day for over two, two and a half years." (AR 39.) Plaintiff also emphasizes testimony that  
3 she was not able to perform full time work because she was "getting extremely tired throughout  
4 the day. I wasn't able to perform as well. So I, you know...I have gotten complaints before.  
5 But I would get to the point where, you know...I've had the problem of like, trying not to fall  
6 asleep while at work. And then there's other times where I can be more hyper and high energy."  
7 (AR 41.) Plaintiff also directs the Court to testimony where Plaintiff stated that "even when I  
8 don't take things personally, I have no control over it. But I will physically start crying, and  
9 people, customers see me that way. I've been cashiering before, and I've been crying and not  
10 able to stop. I've had to walk off the floor plenty of times in multiple jobs because I can't  
11 control it; I have a breakdown basically. And I have some mood swings and some anger – when  
12 things don't – it can be simple things that I lose my temper... and sometimes, I can appear to be  
13 antisocial because I'm not engaging with customers as much as you should probably...And then  
14 also, just excessive, either going through a state of delusions and tiredness – and then a lot of  
15 times, the anger will get to the point where I feel like, just like screaming and I don't know how  
16 to control it." (Br. 17-18, citing AR 44.)

17 The ALJ stated Dr. Guimaraes' opinion was "inconsistent with the claimant's activities  
18 of daily living and her ability to work, including at substantial gainful activity levels." (AR 24,  
19 citing AR 212-213, 214, 337-351, 352-412, 425-536.) Earlier in the opinion, the ALJ made the  
20 following findings when analyzing Plaintiff's symptom statements:

21 Some of the claimant's activities of daily living are also  
22 inconsistent with their allegations that they are completely  
23 disabled. For example, the claimant has reported enjoying hobbies  
24 including reading, dancing, going to Zumba, walking, using  
25 pinterest, photography, taking classes, and volunteering [AR 337-  
26 351, 352-412]. She reported working and going to school during  
27 the relevant time period [AR 337-351, 352-412]. The earnings  
28 records indicate that she was able to work after her alleged onset  
date including at substantial gainful activity levels [AR 210-214;  
220-221]. She even reported working two jobs and teaching yoga  
classes as recently as December of 2019 [AR 426]. She went on  
vacation with her brother in 2018 [AR 520] and went to Paris with  
her dad in 2019 [AR 444]. The claimant has been engaged for 3  
weeks and met her fiancé 6 months ago at a karaoke bar (hearing  
testimony). She is social with family, friends, and coworkers

1 (hearing testimony). Furthermore, the claimant testified that she  
2 most recently stopped working because she got a different job  
3 (hearing testimony). She is now working at detox center and not  
4 having any trouble (hearing testimony). The claimant's ability to  
work, teach, take classes, socialize, date, and go on vacations  
including traveling out of the country is inconsistent with her  
allegations regarding the limiting effects of her impairments.

5 (AR 23-24.) Of note within the records cited by the ALJ, on January 16, 2019, one week after  
6 Dr. Guimaraes completed the questionnaire, Plaintiff reported she was "overall" "happy with her  
7 medications and progress," and she was working as a massage therapist. (AR 24, 486-87). The  
8 ALJ accurately noted Plaintiff reported working two jobs and "sometimes" teaching yoga classes  
9 in December 2019. (AR 21, 24, 426). The Court finds the ALJ reasonably found testimony that  
10 she was engaged, met her fiancé at a karaoke bar, and socialized with family, sober friends, and  
11 coworkers as inconsistent with Dr. Guimaraes's opinion that depression and anxiety interfered  
12 with Plaintiff's social interactions 15% or more of an 8-hour workday. (AR 21, 24, 38, 50-53,  
13 538). The Court also finds the ALJ reasonably found Plaintiff's reports of traveling with her  
14 brother in 2018 and traveling to Paris with her dad in 2019 to be inconsistent with Dr.  
15 Guimaraes's opinion, particularly his opinion regarding Plaintiff's ability to travel in unfamiliar  
16 places. (AR 23, 444, 520, 538.)

17 The Court finds substantial evidence supports the ALJ's evaluation of Dr. Guimaraes'  
18 January 2019 opinion, and the ALJ's findings and conclusions comply with the controlling  
19 regulations and are free from remandable legal error. 20 C.F.R. §§ 404.1520c(a)-(c),  
20 416.920c(a)-(c).

21 **B. Whether the ALJ Failed to Provide Clear and Convincing Reasons to  
22 Discount Plaintiff's Symptom Testimony**

23 Plaintiff argues the ALJ failed to provide clear and convincing reasons for discounting  
24 her symptom testimony. (Br. 20-26.)

25 1. The Clear and Convincing Standard for Evaluating Symptom Testimony<sup>5</sup>

26 "An ALJ is not required to believe every allegation of disabling pain or other non-

27 <sup>5</sup> Although Defendant emphasizes disagreement with the standard in order to preserve the issue for future appeals,  
28 Defendant acknowledges the clear and convincing standard is the applicable standard for weighing credibility in the  
Ninth Circuit. (Opp'n 28 n.11.)

1 exertional impairment.” Orn v. Astrue, 495 F.3d 625, 635 (9th Cir. 2007) (internal punctuation  
2 and citations omitted). Determining whether a claimant’s testimony regarding subjective pain or  
3 symptoms is credible requires the ALJ to engage in a two-step analysis. Molina v. Astrue, 674  
4 F.3d 1104, 1112 (9th Cir. 2012). The ALJ must first determine if “the claimant has presented  
5 objective medical evidence of an underlying impairment which could reasonably be expected to  
6 produce the pain or other symptoms alleged.” Lingenfelter v. Astrue, 504 F.3d 1028, 1036 (9th  
7 Cir. 2007) (internal punctuation and citations omitted). This does not require the claimant to  
8 show that her impairment could be expected to cause the severity of the symptoms that are  
9 alleged, but only that it reasonably could have caused some degree of symptoms. Smolen, 80  
10 F.3d at 1282.

11 Second, if the first test is met and there is no evidence of malingering, the ALJ can only  
12 reject the claimant’s testimony regarding the severity of her symptoms by offering “clear and  
13 convincing reasons” for the adverse credibility finding. Carmickle v. Commissioner of Social  
14 Security, 533 F.3d 1155, 1160 (9th Cir. 2008). The ALJ must make findings that support this  
15 conclusion and the findings must be sufficiently specific to allow a reviewing court to conclude  
16 the ALJ rejected the claimant’s testimony on permissible grounds and did not arbitrarily discredit  
17 the claimant’s testimony. Moisa v. Barnhart, 367 F.3d 882, 885 (9th Cir. 2004).

18 Factors that may be considered in assessing a claimant’s subjective pain and symptom  
19 testimony include the claimant’s daily activities; the location, duration, intensity and frequency  
20 of the pain or symptoms; factors that cause or aggravate the symptoms; the type, dosage,  
21 effectiveness or side effects of any medication; other measures or treatment used for relief;  
22 functional restrictions; and other relevant factors. Lingenfelter, 504 F.3d at 1040; Thomas, 278  
23 F.3d at 958. In assessing the claimant’s credibility, the ALJ may also consider “(1) ordinary  
24 techniques of credibility evaluation, such as the claimant’s reputation for lying, prior inconsistent  
25 statements concerning the symptoms, and other testimony by the claimant that appears less than  
26 candid; [and] (2) unexplained or inadequately explained failure to seek treatment or to follow a  
27 prescribed course of treatment.” Tommasetti v. Astrue, 533 F.3d 1035, 1039 (9th Cir. 2008)  
28 (quoting Smolen, 80 F.3d at 1284).

1       2.     Plaintiff's Primary Challenges

2       Plaintiff argues the ALJ mischaracterized the medical evidence of record that shows  
3 greater limitations, by failing to consider the “subjective and subjective evidence as a whole.”  
4 (Br. 20.) The Court presumes the Plaintiff means objective and subjective evidence. Plaintiff  
5 highlights that, as argued previously, the ALJ mischaracterized Plaintiff’s mental health  
6 examinations as overall normal, while failing to discuss that on multiple occasions Dr.  
7 Guimaraes or his nurse practitioner, documented Plaintiff’s MSE showed “flat blunted” (AR  
8 376, 509) and “restricted” affect (AR 503); “slowed speech” (AR 503), “drowsy” appearance  
9 (AR 392, 464) with hand tremors (AR 464, 469); “disheveled” appearance; and “sad” and  
10 “depressed” mood. (AR 426). (Br. 22.) Plaintiff further argues that the ALJ failed to discuss  
11 Plaintiff’s limiting symptomology as extensively documented by Dr. Guimaraes, coupled with  
12 his prescription of various medications and dosages of highly potent and side-effect inducing  
13 anti-psychotic, psychotropic, anti-convulsant and SSRI medications.

14       Plaintiff’s second overall argument is that the ALJ materially mischaracterized her  
15 activities of daily living as indicating a greater level of functioning than actually reported.  
16 Plaintiff proffers the ALJ’s reference to enjoying hobbies, including reading, dancing, going to  
17 Zumba, walking, using Pinterest, photography, taking classes, and volunteering, is incorrect as  
18 nowhere does hearing testimony indicate that the activities took place on a *daily* basis. (Br. 22.)  
19 Plaintiff also takes issue with the fact the ALJ did not use more pointed citations to the record  
20 when referencing Exhibits 2F and 7F, which constitute 173 pages of records, and thus this is not  
21 clear and convincing. (Br. 22-23.)

22       Additionally, Plaintiff argues that a review of the medical records and hearing testimony  
23 as a whole does indeed show she consistently reported that she has experienced periods of  
24 improvement and periods of part time temporary employment, but such improvement in  
25 symptoms did not rise to the level required of a person who can engage in sustained work five  
26 days a week for eight hours a day in a normal work environment. (Br. 23.) Plaintiff directs the  
27 Court to hearing testimony, such as where Plaintiff testified that: “I don’t think that I’m able to  
28 function like other normal people who don’t have the same problems and issues. And, you

1 know, like hearing voices and seeing things, those are abnormal, and they affect my daily life to  
2 where I need to have some time to cope with those things that go, that I go through, rather,  
3 because the performance – with the ideal compared to someone that might work full-time and be  
4 able to function better.” (AR 49.)

5 Relatedly, Plaintiff argues that the cited improvement on medications is inconsistent and  
6 conditional on the consistent monitoring by her treating psychiatrist, who prescribed various  
7 medications, and the ALJ’s reliance on improvement and stability on medication was error. See,  
8 e.g., Garrison, 759 F.3d at 1017 (“Cycles of improvement and debilitating symptoms are a  
9 common occurrence, and in such circumstances it is error for an ALJ to pick out a few isolated  
10 instances of improvement over a period of months or years and to treat them as a basis for  
11 concluding a claimant is capable of working.”).

12       3.     The Court Finds the ALJ Provided Multiple Clear and Convincing Reasons

13       While records and similar reasoning were discussed elsewhere in the opinion, the ALJ’s<sup>1</sup>  
14 reasoning for discounting Plaintiff’s symptom testimony is as follows:

15       As for the claimant’s statements about the intensity, persistence,  
16 and limiting effects of his or her symptoms, they are inconsistent  
17 with the overall evidence of record. The claimant’s allegations that  
18 they are completely disabled and unable to work any job due to the  
19 severity and limiting effects of their symptoms are inconsistent  
20 with the observations by the claimant’s medical providers. Greater  
21 residual functional capacity limitations are not supported by the  
22 evidence that the claimant has been observed to be oriented, in no  
23 distress, to have normal speech, normal behavior, normal judgment  
24 and thought content, to not be anxious, angry, inappropriate,  
25 paranoid or have delusions, to have normal cognition and memory,  
26 to not have a depressed mood, to be calm and attentive,  
27 appropriately dressed with adequate grooming and hygiene, to be  
28 cooperative with good eye contact, bright, engaging, to have intact  
recent and remote memory, and intact attention and concentration.  
These observed functional abilities are inconsistent with the  
claimant’s allegations regarding the severity and limiting effects of  
their impairments. Some of the claimant’s activities of daily living  
are also inconsistent with their allegations that they are completely  
disabled. For example, the claimant has reported enjoying hobbies  
including reading, dancing, going to Zumba, walking, using  
Pinterest, photography, taking classes, and volunteering [AR 337-  
351, 352-412]. She reported working and going to school during  
the relevant time period [AR 337-351, 352-412]. The earnings  
records indicate that she was able to work after her alleged onset  
date including at substantial gainful activity levels [AR 210-214;  
220-221]. She even reported working two jobs and teaching yoga

1 classes as recently as December of 2019 [AR 426]. She went on  
2 vacation with her brother in 2018 [AR 520] and went to Paris with  
3 her dad in 2019 [AR 444]. The claimant has been engaged for 3  
4 weeks and met her fiancé 6 months ago at a karaoke bar (hearing  
5 testimony). She is social with family, friends, and coworkers  
6 (hearing testimony). Furthermore, the claimant testified that she  
7 most recently stopped working because she got a different job  
8 (hearing testimony). She is now working at detox center and not  
9 having any trouble (hearing testimony). The claimant's ability to  
10 work, teach, take classes, socialize, date, and go on vacations  
11 including traveling out of the country is inconsistent with her  
12 allegations regarding the limiting effects of her impairments.  
13

14 (AR 23-24.)  
15

16 The ALJ assessed work restrictions in finding that Plaintiff retained the ability for no  
17 greater than occasional contact with others and sustaining concentration, persistence, and pace  
18 for 2 hour intervals after which she requires a 10 minute break. (AR 22-23.) As the Court  
19 discussed above, the ALJ acknowledged Plaintiff's reporting of symptoms including auditory  
20 and visual hallucinations, anger, bad dreams, disturbing thoughts, irritability, tearfulness, mood  
instability, anxiety, and worry. (AR 22, citing 337-351, 352-412, 425-536.) The ALJ stated that  
the "limitation that the claimant can sustain concentration, persistence, and pace for 2 hour  
intervals after which she requires a 10-minute break is supported by . . . some of her subjective  
symptoms, including auditory and visual hallucinations." (AR 23.) The ALJ explained that  
"some of her subjective symptoms including tearfulness, anger, irritability, and reported  
difficulty interacting with others" supported the RFC limitation regarding occasional interaction  
with coworkers, supervisors, and the public. (AR 23.)

21 Defendant argues the ALJ properly evaluated under the regulations whether Plaintiff's  
22 statements about her symptoms were consistent with: (1) the objective medical evidence; and (2)  
23 the other evidence in the record (AR 22-24). 20 C.F.R. §§ 404.1529(c)(2-3), 416.929(c)(2-3).  
24 Defendant argues the ALJ properly found Plaintiff's statements were inconsistent with: (1) the  
25 objective medical evidence; (2) her treatment history documenting improvement with medication  
compliance; (3) notations that Plaintiff's schizoaffective disorder (bipolar type) and PTSD were  
well controlled on medication; and (4) Plaintiff's activities. (Opp'n 28-29.)

26 The Court finds the ALJ reasonably declined to find the record supported the full extent  
27

1 of Plaintiff's subjective testimony, and provided clear and convincing reasons for doing so,  
2 supported by substantial evidence in the record.

3       **a.     The Objective Medical Record**

4       As discussed above, the Court finds the ALJ carefully examined the longitudinal record  
5 and detailed the clinical findings that supported the conclusions regarding inconsistency with the  
6 record. (AR 20-24). The ALJ discussed the July 2017 psychiatric examination, which showed  
7 Plaintiff was calm and attentive with normal speech, memory, cognition, behavior, judgment,  
8 and thought content (not paranoid and not delusional). (AR 21, 23, 339.) The ALJ considered  
9 that the emergency room physician described Plaintiff's mood as "not anxious" (AR 22-23, 339).  
10 The ALJ discussed that records showed Plaintiff's exams consistently noted cooperative  
11 behavior, good eye contact, normal speech, and intact insight, judgment, memory, and  
12 attention/concentration (AR 20-24, 353, 357-58, 364, 370, 376, 382, 387, 392, 425-27, 433, 437-  
13 38, 445-96, 503-04, 509-35). The ALJ also discussed that Nurse Practitioner Bayer noted in  
14 2019 that Plaintiff "presents as bright and interactive" and "bright and engaging." (AR 20-21,  
15 23, 457, 463, 480-81.)

16       The ALJ's specific use of the objective medical records to contrast the inconsistency with  
17 the Plaintiff's testimony, was proper, reasonable, and supported by substantial evidence. Burch,  
18 400 F.3d at 679 ("Where evidence is susceptible to more than one rational interpretation, it is the  
19 ALJ's conclusion that must be upheld."); Smolen, 80 F.3d at 1279; Thomas, 278 F.3d at 955.  
20 While the ALJ's use of the objective medical evidence is insufficient standing alone, the ALJ  
21 provided clear and convincing determinations when considered in conjunction with the ALJ's  
22 other reasoning concerning daily activities, and compliance with treatment in conjunction with  
23 improvement with treatment, as discussed in the following sections. See Rollins v. Massanari,  
24 261 F.3d 853, 857 (9th Cir. 2001) ("While subjective pain testimony cannot be rejected on the  
25 sole ground that it is not fully corroborated by objective medical evidence, the medical evidence  
26 is still a relevant factor in determining the severity of the claimant's pain and its disabling effects  
27 . . . The ALJ also pointed out ways in which Rollins' claim to have totally disabling pain was  
28 undermined by her own testimony about her daily activities.") (citing 20 C.F.R. §

1 404.1529(c)(2)); Vertigan v. Halter, 260 F.3d 1044, 1049 (9th Cir. 2001) (“The fact that a  
 2 claimant’s testimony is not fully corroborated by the objective medical findings, in and of itself,  
 3 is not a clear and convincing reason for rejecting it.”); Burch, 400 F.3d at 680-81 (“Although  
 4 lack of medical evidence cannot form the sole basis for discounting pain testimony, it is a factor  
 5 that the ALJ can consider in his credibility analysis.”); 20 C.F.R. § 404.1529 (“We will not reject  
 6 your statements about the intensity and persistence of your pain or other symptoms or about the  
 7 effect your symptoms have on your ability to work solely because the available objective  
 8 medical evidence does not substantiate your statements.”); Walker v. Barnhart, 148 F. App’x  
 9 632, 633–34 (9th Cir. 2005) (“The ALJ’s identification of discrepancies between Walker’s  
 10 alleged symptoms and the objective medical evidence including treatment records, the x-ray, and  
 11 the observations of other medical personnel also provided legitimate reasons for rejecting  
 12 Walker’s testimony.”); Reichley v. Berryhill, 723 F. App’x 540, (Mem)–541 (9th Cir. 2018)  
 13 (“The ALJ provided the requisite specific, clear, and convincing reasons . . . [including]  
 14 sufficiently [identifying] inconsistencies between Reichley’s testimony and the objective medical  
 15 evidence.”).<sup>6</sup>

16       **b. Daily Activities**

17       The ALJ may consider the claimant’s daily activities in making a credibility  
 18 determination. See Diedrich v. Berryhill, 874 F.3d 634, 642-43 (9th Cir. 2017); Thomas, 278  
 19 F.3d at 958-59; 20 C.F.R. § 404.1529(c)(3)(i) (“Because symptoms sometimes suggest a greater  
 20 severity of impairment than can be shown by objective medical evidence alone, we will carefully  
 21 consider any other information you may submit about your symptoms . . . Factors relevant to  
 22 your symptoms, such as pain, which we will consider include: (i) Your daily activities.”).  
 23 However, “[o]ne does not need to be ‘utterly incapacitated’ in order to be disabled.” Vertigan,  
 24 260 F.3d at 1050 (citing Fair v. Bowen, 885 F.2d 597, 603 (9th Cir. 1989)). In fact, “many home  
 25

---

26       <sup>6</sup> While inconsistency with or a lack of objective medical evidence can blur with a finding of contradiction, courts  
 27 hold contradiction can be a sufficient basis for rejecting testimony. See Carmickle v. Comm’r, Soc. Sec. Admin.,  
 28 533 F.3d 1155, 1161 (9th Cir. 2008) (“Contradiction with the medical record is a sufficient basis for rejecting the  
 claimant’s subjective testimony.”) (citing Johnson v. Shalala, 60 F.3d 1428, 1434 (9th Cir. 1995)); Hamm v. Saul,  
 804 F. App’x 810, 811–12 (9th Cir. 2020) (“Hamm’s testimony was inconsistent with, and unsupported by,  
 the medical evidence of record”) (citing Carmickle, 533 F.3d at 1161; Burch, 400 F.3d at 681).

1 activities are not easily transferable to what may be the more grueling environment of the  
 2 workplace.” Fair, 885 F.2d at 603. Only if a claimant’s level of activities is inconsistent with  
 3 her claimed limitations would activities of daily living have any bearing on the claimant’s  
 4 credibility. Reddick v. Chater, 157 F.3d 715, 722 (9th Cir. 1998).

5 There are two ways an ALJ may use daily activities for an adverse credibility finding.  
 6 Orn v. Astrue, 495 F.3d 625, 639 (9th Cir. 2007). First, daily activities can form the basis of an  
 7 adverse credibility determination if the claimant’s activity contradicts the claimant’s testimony.  
 8 Id. Second, “daily activities may be grounds for an adverse credibility finding ‘if a claimant is  
 9 able to spend a substantial part of his day engaged in pursuits involving the performance of  
 10 physical functions that are transferable to a work setting.’ ” Id. (quoting Fair v. Bowen, 885 F.2d  
 11 597, 603 (9th Cir. 1989)). The ALJ must make specific findings as to the daily activities and  
 12 their transferability to conclude that the claimant’s daily activities warrant an adverse credibility  
 13 determination. Orn, 495 F.3d at 639.

14 Of note within the records cited by the ALJ, on January 16, 2019, one week after Dr.  
 15 Guimaraes completed the questionnaire, Plaintiff reported she was “overall” “happy with her  
 16 medications and progress,” and she was working as a massage therapist. (AR 24, 486-87). The  
 17 ALJ accurately noted Plaintiff reported working two jobs and “sometimes” teaching yoga classes  
 18 in December 2019. (AR 21, 24, 426 (“She is working two jobs—massage therapist and  
 19 cosmetology. Sometimes teaches Yoga classes.”). The ALJ discussed Plaintiff’s hobbies, such  
 20 as reading, dancing, going to Zumba, using Pinterest, photography, and volunteering. (AR 23.)  
 21 The ALJ noted that Plaintiff’s activities during the relevant period included working, socializing,  
 22 traveling, going to school, and teaching yoga (AR 20-24, 38-42, 50-53, 210-14, 220-21, 352,  
 23 444, 450, 468, 487, 520, 532, 535.) The Court finds the ALJ reasonably found such testimony as  
 24 well as testimony that she was engaged, met her fiancé at a karaoke bar, and socialized with  
 25 family, sober friends, and coworkers, as well as reports of traveling with her brother in 2018 and  
 26 traveling to Paris in 2019, to be inconsistent with Plaintiff’s testimony that she is unable to work  
 27 because she has crying spells, has a breakdown over simple things, has mood swings, anger,  
 28 loses her temper, appears to be antisocial, has delusions, and experiences tiredness.

1       Accordingly, the Court finds the ALJ's reliance on Plaintiff's activities of daily living to  
 2 be a clear and convincing reason supported by substantial evidence for discounting Plaintiff's  
 3 symptom testimony. Burch, 400 F.3d at 679 ("Where evidence is susceptible to more than one  
 4 rational interpretation, it is the ALJ's conclusion that must be upheld."); Smolen, 80 F.3d at  
 5 1279; Thomas, 278 F.3d at 955; Diedrich, 874 F.3d at 642-43.

6       **c.      Compliance with Medication and Reports of Improvement on Medication**

7       "Impairments that can be controlled effectively with medication are not disabling for the  
 8 purpose of determining eligibility for SSI benefits." Warre, 439 F.3d at 1006; but see Holohan,  
 9 246 F.3d at 1205 ("That a person who suffers from severe panic attacks, anxiety, and depression  
 10 makes some improvement does not mean that the person's impairments no longer seriously  
 11 affect her ability to function in a workplace."); Lule v. Berryhill, No. 1:15-CV-01631 - JLT,  
 12 2017 WL 541096, at \*7 (E.D. Cal. Feb. 10, 2017) ("Although Plaintiff's condition was 'stable'  
 13 and not worsening, there is no indication the record that the stability of her condition rendered  
 14 her able to perform work for an eight-hour day.").

15       The Court is not unreceptive to the Plaintiff's arguments concerning stability and  
 16 improvement in relation to the longitudinal record. See Herrick v. Comm'r of Soc. Sec., No.  
 17 1:20-CV-01776-SAB, 2022 WL 1751049, at \*13 (E.D. Cal. May 31, 2022) ("Therefore, the  
 18 Court finds the ALJ's discounting of Plaintiff's testimony on the basis that his seizures are 'stable  
 19 on medication' impermissibly isolates evidence favorable to the ALJ's conclusion while not  
 20 accounting for or addressing relevant and potentially conflicting evidence, and fails to  
 21 adequately account for the longitudinal record."). The Court finds no error here in the ALJ's  
 22 reliance on reports of improvement and stability on medication, as well on Plaintiff's periods of  
 23 worse symptoms when non-compliant with medication. The ALJ accurately noted "the records  
 24 indicated that the claimant and her treatment providers have reported improvement to her  
 25 symptoms with medication compliance." (AR 24, citing AR 352-412, 425-536.) The ALJ noted  
 26 that at the hearing, Plaintiff "testified that her crying spells and outburst seem to be getting better  
 27 with medication." (AR 24.) As discussed above, the ALJ accurately relied upon records  
 28 regarding Plaintiff being stable, symptoms being well-controlled on medications, and that

1 Plaintiff was variably compliant with medications at other times. (AR 23-24, 453, 457, 461,  
2 481.)

3 The Court finds the ALJ's reliance and balancing of these and other records is a clear and  
4 convincing reason for discounting Plaintiff's symptom testimony, and is supported by substantial  
5 evidence in the record. See Warre, 439 F.3d at 1006; Tommasetti, 533 F.3d at 1039 (in assessing  
6 credibility, the ALJ may consider an "unexplained or inadequately explained failure to seek  
7 treatment or to follow a prescribed course of treatment.") (quoting Smolen, 80 F.3d at 1284).  
8 Thus, the Court concludes the ALJ has provided multiple clear and convincing reasons in  
9 support of discounting Plaintiff's testimony, and finds no legal error. The Court now turns to  
10 Plaintiff's final challenge to the ALJ's RFC determination.

11 **C. The Mental RFC Assessment**

12 Plaintiff argues her MRFC is not supported by substantial evidence. (Br. 26-27.)

13 1. Legal Standards

14 A claimant's RFC is "the most [the claimant] can still do despite [his] limitations." 20  
15 C.F.R. § 416.945(a)(1). The RFC is "based on all the relevant evidence in [the] case record." 20  
16 C.F.R. § 416.945(a)(1). "The ALJ must consider a claimant's physical and mental abilities, §  
17 416.920(b) and (c), as well as the total limiting effects caused by medically determinable  
18 impairments and the claimant's subjective experiences of pain, § 416.920(e)." Garrison v.  
19 Colvin, 759 F.3d 995, 1011 (9th Cir. 2014). At step four the RFC is used to determine if a  
20 claimant can do past relevant work and at step five to determine if a claimant can adjust to other  
21 work. Garrison, 759 F.3d at 1011. "In order for the testimony of a VE to be considered reliable,  
22 the hypothetical posed must include 'all of the claimant's functional limitations, both physical  
23 and mental' supported by the record." Thomas, 278 F.3d at 956.

24 When applying for disability benefits, the claimant has the duty to prove that she is  
25 disabled. 42 U.S.C. § 423(c)(5)(A). The ALJ has an independent "duty to fully and fairly  
26 develop the record and to assure that the claimant's interests are considered." Widmark v.  
27 Barnhart, 454 F.3d 1063, 1068 (9th Cir. 2006) (quoting Brown v. Heckler, 713 F.2d 441, 443  
28 (9th Cir. 1983)). The ALJ has a duty to further develop the record where the evidence is

1 ambiguous or the ALJ finds that the record is inadequate to allow for proper evaluation of the  
2 evidence. Mayes v. Massanari, 276 F.3d 453, 459-60 (9th Cir. 2001); Tonapetyan v. Halter, 242  
3 F.3d 1144, 1150 (9th Cir. 2001). A specific finding of ambiguity or inadequacy in the record is  
4 not required to trigger the necessity to further develop the record where the record itself  
5 establishes the ambiguity or inadequacy. McLeod v. Astrue, 640 F.3d 881, 885 (9th Cir. 2011).

6       2.     Plaintiff's Arguments

7       Plaintiff takes issue that in addition to rejecting the only long-term, treating physician's  
8 well- MRFC MSS, the ALJ also rejected as "not persuasive," the state agency physicians'  
9 determination that Plaintiff's mental impairments were "not severe" because "the overall record  
10 including some of the claimant's reported symptoms of hallucinations, anger, tearfulness, and  
11 difficulty interacting with others as well as her diagnoses in the record, are all more consistent  
12 with a finding that the claimant has severe mental impairments and a moderate limitation in the  
13 areas of interact with others and concentrate, persist, or maintain pace." (AR 24). Plaintiff  
14 contends that by rejecting all expert opinions of the limitations resulting from the evidence of  
15 record, the ALJ is essentially taking it upon herself to interpret the raw medical evidence of  
16 record and formulate her own "function-by- function" MRFC based on her own *lay* knowledge  
17 that "reported symptoms of hallucinations, anger, tearfulness, and difficulty interacting with  
18 others as well as her diagnoses in the record, are all more consistent with a finding that the  
19 claimant has severe mental impairments and a moderate limitation in the areas of interact with  
20 others and concentrate, persist, or maintain pace." (AR 24)

21       Plaintiff submits that by rejecting both the treating and non-examining, non-treating  
22 physician MRFC findings, the ALJ is obligated to further develop the claimant's medical history  
23 by sending her for a consultative examination; as the ALJ is not permitted to make "an  
24 independent evaluation of the diagnosed impairments on plaintiff's ability to work on a function-  
25 by-function basis." Molina v. Berryhill, No. 2:17-CV-01991 CKD, 2018 WL 6421287, at \*4  
26 (E.D. Cal. Dec. 6, 2018). Plaintiff argues it is well established the ALJ cannot speculate as to a  
27 claimant's RFC based upon their own interpretation of medical data. See Goodman v. Berryhill,  
28 No. 2:17-CV-01228 CKD, 2019 WL 79016, at \*7 (E.D. Cal. Jan. 2, 2019).

1           3.     The Court finds the ALJ's RFC Analysis to be Supported by Substantial  
 2           Evidence in the Record and Free from Legal Error

3           The Court is not unreceptive to the type of arguments presented by Plaintiff here. See  
 4           Daniel Garcia v. Comm'r of Soc. Sec., No. 1:18-CV-00914-SAB, 2019 WL 3283171, at \*7  
 5           (E.D. Cal. July 22, 2019). Here however, the Court does not find the ALJ improperly interpreted  
 6           medical data, or improperly made an RFC determination due to not directly adopting an RFC  
 7           finding from a physician opinion.

8           The Court determined above that the ALJ properly discounted Dr. Guimaraes' opinion in  
 9           reasonable consideration of both the evidence in favor of Plaintiff's position, and against a  
 10          disability determination. In this instance, based on all of the evidence of record and the ALJ's  
 11          summary, citation to, and analysis of such records, the Court finds the ALJ's discounting of the  
 12          state agency physician opinions that found Plaintiff's mental impairments were not even severe,  
 13          enhances the Court's view that the ALJ reasonably weighed all of the medical evidence and  
 14          opinions together in formulating the RFC. The ALJ found that Plaintiff had the mental RFC to  
 15          sustain concentration, persistence, and pace for 2-hour intervals "after which she requires a 10-  
 16          minute break that can be accommodated by morning, afternoon, and lunch breaks." (AR 22-23.)  
 17          In addition, the ALJ limited Plaintiff to only occasional interaction with coworkers, supervisors,  
 18          and the public. (Id.)

19          The Court finds substantial evidence in support of Defendant's arguments that Dr.  
 20          Guimaraes's treatment notes are in fact consistent with the RFC assessment. (AR 20-24, 352-  
 21          408, 425-536.) Regardless, Plaintiff has not provided legal authority requiring an ALJ to adopt a  
 22          single medical source opinion to determine the RFC. The ALJ was not required to adopt the  
 23          findings or opinion of any of the physicians but rather was required to determine the RFC based  
 24          on all of the evidence in the record. See 20 C.F.R. § 404.1527(d)(2) ("Although we consider  
 25          opinions from medical sources on issues such as . . . your residual functional capacity . . . the  
 26          final responsibility for deciding these issues is reserved to the Commissioner."); Rounds v.  
 27          Comm'r of Soc. Sec., 807 F.3d 996, 1006 (9th Cir. 2015) ("the ALJ is responsible for translating

1 and incorporating clinical findings into a succinct RFC"); Vertigan, 260 F.3d at 1049 ("It is clear  
2 that it is the responsibility of the ALJ, not the claimant's physician, to determine residual  
3 functional capacity."). The regulations provide that the agency "will not defer or give any  
4 specific evidentiary weight, including controlling weight, to any medical opinion(s) or prior  
5 administrative medical finding(s), including those from your medical sources." 20 C.F.R. §  
6 404.1520c(a).

7 The Court does not find the ALJ was required to order a consultative exam. The  
8 regulations provide the following guidance for utilizing evidence in assessing an RFC, and  
9 allows for ordering a consultative exam "if necessary":

10 (3) Evidence we use to assess your residual functional capacity.  
11 We will assess your residual functional capacity based on all of the  
12 relevant medical and other evidence. In general, you are  
13 responsible for providing the evidence we will use to make a  
14 finding about your residual functional capacity. (See §  
15 404.1512(c).) However, before we make a determination that you  
16 are not disabled, we are responsible for developing your complete  
17 medical history, including arranging for a consultative  
18 examination(s) if necessary, and making every reasonable effort to  
19 help you get medical reports from your own medical sources.

20 C.F.R. § 404.1545(a)(3). The regulations further provide a non-exhaustive list of examples of  
21 when the agency may purchase a consultative exam: "(1) The additional evidence needed is not  
22 contained in the records of your medical sources; (2) The evidence that may have been available  
23 from your treating or other medical sources cannot be obtained for reasons beyond your control,  
24 such as death or noncooperation of a medical source; (3) Highly technical or specialized medical  
evidence that we need is not available from your treating or other medical sources; or (4) There  
is an indication of a change in your condition that is likely to affect your ability to work, or, if  
you are a child, your functioning, but the current severity of your impairment is not established."

25 20 C.F.R. § 416.919a(b)(1)-(4).

26 The Court finds the ALJ utilized substantial evidence in the record in making her RFC  
27 determination, and Plaintiff has not demonstrated a consultative examination was necessary to  
28 further develop the record. Plaintiff has offered no showing that such an examination was  
needed to resolve an inconsistency in the evidence, or that the evidence was insufficient as a

1 whole to make a determination or that it was necessary to secure needed medical evidence, such  
2 as clinical findings, laboratory tests, a diagnosis, or prognosis. See Karen E. v. Berryhill, No.  
3 ED CV 17-918-SP, 2019 WL 1405835, at \*3 (C.D. Cal. Mar. 27, 2019) (“Certainly it may have  
4 been helpful for the ALJ to retain a medical expert to review these records, but it was not  
5 necessarily required where, as here, the ALJ reviewed the substantial medical evidence that  
6 supported his RFC determination with respect to plaintiff’s lower back pain.”); Breen v.  
7 Callahan, No. C 97-1389 CRB, 1998 WL 272998, at \*3-4 (N.D. Cal. May 22, 1998) (“The  
8 decision to order a consultative examination is, however, discretionary . . . and is only required  
9 when the record establishes that such an examination is necessary to enable the ALJ to resolve  
10 the issue of disability.”).

11       The facts in this case are not similar to other instances in which the ALJ was found to  
12 have a duty to further develop the record. See Tonapetyan, 242 F.3d at 1150-51 (ALJ erred by  
13 relying on testimony of physician who indicated more information was needed to make  
14 diagnosis); Hilliard v. Barnhart, 442 F.Supp.2d 813, 818-19 (N.D. Cal. 2006) (ALJ erred by  
15 failing to develop record where he relied on the opinion of a physician who recognized he did  
16 not have sufficient information to make a diagnosis). The Court finds the ALJ’s RFC  
17 determination to be proper, reasonable, based on substantial evidence in the record, and not  
18 deficient due to lack of use of a medical opinion.

19       ///  
20       ///  
21       ///  
22       ///  
23       ///  
24       ///  
25       ///  
26       ///  
27       ///  
28       ///

1 V.

2 **CONCLUSION AND ORDER**

3 Based on all of the foregoing reasons, the Court finds: (1) substantial evidence supports  
4 the ALJ's rejection of treating physician Dr. Guimaraes' medical source statement; (2) the ALJ  
5 provided multiple clear and convincing reasons for rejecting Plaintiff's symptomology  
6 evidence; and (3) the ALJ's mental residual functional capacity finding is proper and supported  
7 by substantial evidence.

8 Accordingly, IT IS HEREBY ORDERED that Plaintiff's appeal from the decision of the  
9 Commissioner of Social Security is DENIED. It is FURTHER ORDERED that judgment be  
10 entered in favor of Defendant Commissioner of Social Security and against Plaintiff Katarina  
11 Marie Cox. The Clerk of the Court is directed to CLOSE this action.

12 IT IS SO ORDERED.

13 Dated: August 23, 2022



---

14 UNITED STATES MAGISTRATE JUDGE

15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28